



#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS:

Gillies et al.

**CONFIRMATION NO.:** 

3473

;OPY

SERIAL NO.:

09/621,268

**GROUP NO.:** 

1642

FILING DATE:

July 21, 2000

**EXAMINER:** 

K. Canella, Ph.D.

TITLE:

Fc Fusion Proteins for Enhancing the Immunogenicity of Protein and Peptide

Antigens

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

#### SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. Copies of the patents and publications are enclosed.

#### **REMARKS**

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed (CHECK ONE):

	(1)	within three (3) months of the filing date of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the date of entry of the national stage as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the first Office action on the merits, or before the mailing of a first Office action after the filing of a request for continued examination under 37 C.F.R. 1.114; or
$\boxtimes$	(2)	after the period defined in (1) but before the mailing date of a final action or a notice of allowance under 37 C.F.R. 1.311, and
		the requisite Statement is below, OR
	$\square$	the requisite fee under 37 C F R 1 17(n) namely \$180.00 is included herein or

Supplemental Information Disclosure Statement Atty Docket No. LEX-007 Serial No. 09/621,268 Page 2 of 2



(3)	after the mailing date of a final action or notice of allowance but before the payment of the issue fee, AND
	the requisite Statement is below, AND
	the requisite petition fee under 37 C.F.R. 1.17(p), namely \$180.00 is included herein.
•	fully requested that each of the patents and publications listed on the attached Form ther information contained herein, be made of record in this application.

Date: September 19, 2003

Reg. No. 48,645

Tel. No.: (617) 248-7697 Fax No.: (617) 248-7100

2682107

Respectfully submitted,

Brian A. Fairchild, Ph.D. Agent for Applicant

Testa, Hurwitz & Thibeault, LLP

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Boston, Massachusetts 02110

# INFORMATION DISCLOSURE STATEMENT

ATTORNEY DOCKET NO.: LEX-007

APPLICANT(S): Gillies et al.

SERIAL NO.: 09/621,268 CONF. NO.: 34

SEP 2 9	3 5000 E		U.S	. PATENT DOCUMEN	NTS		1642 1600/201
EXAM.	UEUL -	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	A8	07/348,237	5/5/89	Rosenblum et al.			
•	A9	4,196,265	4/1/80	Koprowski et al.			
	A10	4,469,797	9/4/84	Albarella			
	A11	4,676,980	6/30/87	Segal et al.			
	A12	4,816,567	3/28/89	Cabilly et al.			
	A13	4,946,778	8/7/90	Ladner et al.			
	A14	5,019,368	5/28/91	Epstein et al.			
	A15	5,073,627	12/17/91	Curtis et al.			
	A16	5,114,711	5/19/92	Bell et al.			
	A17	5,116,964	5/26/92	Capon et al.			
	A18	5,199,942	4/6/93	Gillis			
	A19	5,225,538	7/6/93	Capon et al.			
	A20	5,225,539	7/6/93	Winter		·	
	A21	5,258,498	11/2/93	Huston et al			
	A22	5,314,995	5/24/94	Fell, Jr. et al.			
	A23	5,359,035	10/25/94	Habermann			
	A24	5,514,582	5/7/96	Capon et al.			
·	A25	5,541,087	7/30/96	Lo et al.			
	A26	5,543,297	8/6/96	Cromlish, et al.			
	A27	5,552,524	09/03/96	Basinski et al.			
	A28	5,585,089	12/17/96	Queen et al.			
	A29	5,609,846	3/11/97	Goldenberg			
	A30	5,624,821	4/29/97	Winter et al.			
<del>-</del>	A31	5,639,725	6/17/97	O'Reilly et al.			
	A32	5,645,835	7/8/97	Fell, Jr. et al.			
	A33	5,650,150	7/22/97	Gillies			
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**EXAMINER** 

ATTORNEY DOCKET NO.: LEX-007

APPLICANT(S): Gillies et al.

SERIAL NO.: 09/621,268 CONF. NO.: 3473

FILING DATE: July 21, 2000 GROUP: 1642

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EXAM. INIT.	, and	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	A34	5,650,492	7/22/97	Gately et al.			
	A35	5,667,776	9/16/97	Zimmerman et al.			
	A36	5,679,543	10/21/97	Lawlis			
	A37	5,691,309	11/25/97	Basinski et al.			
	A38	5,719,266	02/17/98	DiMarchi et al.			
	A39	5,723,125	3/3/98	Chang et al.		<u> </u>	
	A40	5,726,044	3/10/98	Lo et al.			
	A41	5,733,876	3/31/98	O'Reilly et al.			
	A42	5,756,461	05/26/98	Stephens		<u> </u>	
	A43	5,770,195	6/23/98	Hudziak et al.			
	A44	5,807,715	9/15/98	Morrison et al.			
	A45	5,837,682	11/17/98	Folkman et al.			
	A46	5,843,423	12/1/98	Lyman et al.			
	A47	5,854,205	12/29/98	O'Reilly et al.			
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	A53	5,922,685	7/13/99	Rakhmilevich et al.			
	A54	6,100,387	8/8/00	Herrmann et al.			
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-	B4	0 158 198 A1	10/16/85	EP					Y
	B5	0 211 769 A2	2/25/87	EP					Y
	В6	0 256 714 A2	2/24/88	EP				-	Y
-	В7	0 294 703 A2	12/14/88	EP					Y
	B8	0 308 936 B1	3/29/89	EP					Y
	В9	0 314 317 B1	5/3/89	EP					Y
	B10	0 318 554 B1	6/7/89	EP					Y
	B11	0 319 012 A2	6/7/89	ЕР					Y
	B12	0 326 120 B1	8/2/89	EP					Y
	B13	0 350 230 A2	1/10/90	EP					Y
	B14	0 375 562 B1	6/27/90	ЕР					Y
	B15	0 396 387 A2	11/7/90	EP					Y
	B16	0 439 095 A2	7/31/91	EP					Y
	B17	0 511 747 A1	11/4/92	EP					Y
	B18	0 601 043 B1	6/15/94	EP					Y
	B19	0 640 619 A1	3/1/95	EP					Y
	B20	0 668 353 A1	8/23/95	ЕР					Y
	B21	0 706 799 A2	4/17/96	ЕР					Y
	B22	0 790 309 A1	8/20/97	ЕР					Y
	B23	21725/88	3/23/89	AU					Y
	B24	93100115.3	7/14/93	CN					N
	B25	93100115.3	7/14/93	CN				Y	Y
	B26	37 12985 A1	11/3/88	DE					N
	B27	37 12985	11/2/88	DE				Y	Y
	B28	2 292 382 A	2/21/96	GB					Y
	B29	63-267278	11/4/88	JP					N
	B30	63-267278	11/4/88	JP				Y	Y

**EXAMINER** 

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ATTORNEY DOCKET NO.: LEX-007

APPLICANT(S): Gillies et al.

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GROUP: 16 FILING DATE: July 21, 2000 FOREIGN PATENT DOCUMENTS COUNTRY **CLASS** SUB **FILING** ABSTRACT **ENGLISH** DOCUMENT DATE CODE **CLASS** DATE ONLY LANG INIT. NUMBER (Y/N) N B31 63-267296 11/4/88 JP Y 11/4/88 **B32** 63-267296 JP English counterpart Y 0 237 019 A2 9/16/87 EP **B33** of JP 63-267296 WO 86/01533 Y **B34** 3/13/86 **PCT** Y B35 WO 88/00052 1/14/88 **PCT** B36 WO 88/09344 12/1/88 **PCT** Y Y 4/6/89 **PCT B37** WO 89/02922 Abstract in English Ν WO 89/09620 10/19/89 **PCT B38** Y B39 WO 90/03801 4/19/90 **PCT** Υ **B40** WO 91/00360 1/10/91 **PCT** Y **PCT** B41 WO 91/04329 04/04/91 **B42** WO 91/08298 6/13/91 **PCT** Y Y WO 91/13166 9/5/91 **PCT** B43 Y **B44** WO 91/14438 10/3/91 **PCT** Y **B45** WO 92/02240 2/20/92 **PCT** Y **B46** WO 92/08495 5/29/92 **PCT** PCT Y **B47** WO 92/08801 5/29/92 Υ WO 92/16562 10/1/92 PCT **B48** Y **PCT** B49 WO 93/03157 2/18/93 B50 WO 93/10229 5/27/93 PCT Y Y PCT B51 WO 94/24160 10/27/94 WO 94/25055 11/10/94 PCT Y B52 Y B53 WO 95/05468 2/23/95 PCT WO 95/21258 8/10/95 PCT Y **B54** Y **B55** WO 95/28427 10/26/95 **PCT** Y 02/15/96 **PCT B56** WO 96/04388 WO 96/05309 2/22/96 **PCT** Y

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ATTORNEY DOCKET NO.: LEX-007

APPLICANT(S): Gillies et al.

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EXAM. INIT.	<b>3</b>	DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)
I	B58	WO 96/18412	6/20/96	PCT					Y
· I	B59	WO 96/31526	10/10/96	PCT					Y
I	B60	WO 97/00317	1/3/97	PCT					Y
1	B61	WO 97/00319	1/3/97	PCT					Y
I	B62	WO 97/15666	5/1/97	PCT					Y
I	B63	WO 97/20062	6/5/97	PCT					Y
I	B64	WO 97/24440	7/10/97	PCT					Y
1	B65	WO 97/26335	7/24/97	PCT					Y
I	B66	WO 97/30089	8/21/97	PCT					Y
I	B67	WO 97/33617	9/18/97	PCT					Y
I	B68	WO 97/33619	9/18/97	PCT					Y
I	B69	WO 97/34631	9/25/97	PCT					Y
I	B70	WO 97/43316	11/20/97	PCT					Y
ī	B71	WO 98/00127	1/8/98	PCT					Y
1	B72	WO 98/06752	2/19/98	PCT					Y
I	B73	WO 98/28427	7/2/98	PCT					Y
I	B74	WO 98/46257	10/22/98	PCT					Y
I	B75	WO 98/59244	12/30/98	PCT					Y
I	B76	WO 99/02709	01/21/99	PCT					Y
I	B77	WO 99/03887	01/28/99	PCT	-				Y
I	B78	WO 99/29732	6/17/99	PCT					Y
	B79	WO 99/43713	9/2/99	PCT				,	Y
I	B80	WO 99/52562	10/21/99	PCT					Y
I	B81	WO 99/53958	10/28/99	PCT					Y
I	B82	WO 99/60128	11/25/99	PCT					Y
I	B83	WO 99/62944	12/09/99	PCT					Y
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ATTORNEY DOCKET NO.: LEX-907

APPLICANT(S): Gillies et al.

SERIAL NO.: 09/621,268 CONF. NO.: 3473

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EXAMIRA INIT.	DEMARY	DOCUMENT NUMBER	DATE	COUNTR' CODE	Y CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)
<u> </u>	B84	WO 99/66054	12/23/99	PCT					Y
*	B85	WO 00/11033	3/2/00	PCT					Y
	B86	WO 00/34317	06/15/00	PCT					Y
	B87	WO 00/40615	7/13/00	PCT					Y
	B88	WO 00/68376	11/16/00	PCT					Y
	B89	WO 00/69913	11/23/00	PCT		E			Y
	B90	WO 00/78334 A1	12/28/00	PCT					Y
	B91	WO 01/07081 A1	2/1/01	PCT					Y
	B92	WO 01/10912 A1	2/15/01	PCT					Y
	B93	WO 03/015697 A2	2/27/03	PCT					Y
EXAM. INIT.	ОТН	ER DOCUMENTS: (I	ncluding A	uthor, Titl	e, Date, Rele	vant Pages,	Place of P	ublication)	
	C3	Abaza et al., (1992), " Monoclonal Antibodic Chemistry, 11:5:433-	es of Predet				-		_
	C4	Abstract XP-002116766, (1996), "Prostaglandins, their inhibitors and cancer," <u>Prostaglandins, Leukotrienes</u> and Essential Fatty Acids, 54:2:83-94.							
	C5	Afonso et al., (1994), Science, 263:235-237	-	ant Effect o	f Interleukin-	12 in a Vac	cine Agains	t Leishmania M	ajor,"
	C6	Arenberg et al. (1996) Human Non-small Ce 184:981-992.					-		
	C7	Bacha et al., (1988), " a Diphtheria Toxin-re							
	C8	Bachelot et al., (March protein with Enhanced Association for Cance	l Anti-Tum	or Propertie	s In Vivo," <u>Pr</u>	oceedings o	-		
	С9	Barnett et al., (1994), synthase 1 and 2 expre		•					
	C10	Baselga, et al., (1998) Antitumor activity of Xenografts," <u>Cancer F</u>	Paclitazel a	nd Doxorub	icin against H				
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Sheet 7 of 16

## **FORM PTO - 1449**

## IDITATION DISCLOSURE STATEMENT

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ATTORNEY DOCKET NO.: LEX-007

APPLICANT(S): Gillies et al.

SERIAL NO.: 09/621,268

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INIT HADEUTH	ER DOCUMENTS: (Including Author, Titl	e, Date, Relevant Pages, Place of Pu	blication)			
C11	Batova et al., (1999), "The Ch 14.18-GM-CS Cellular Cytotoxicity and Complement-dependent 4263.					
C12	Batra et al., (1993), "Insertion of Constant Ro Plasma Half-Life," Mol. Immunol., 30:379-3	-	D4-PE40 Increases Its			
C13	Becker et al., (1996), "An Antibody-Interleul Induction of a Cellular Immune Response," <u>I</u>		r Heterogeneity by			
C14	Becker et al., (1996), "Eradication of human antibody-interleukin 2 fusion proteins," Proc	•				
C15	Beutler et al., (1988), "Tumor Necrosis, Cach Rev. Biochem., 57:505-518.	exia, Shock, and Inflammation: A Co	mmon Mediator," <u>Ann.</u>			
C16	Bissery et al., (1997), "The Taxoids," in <u>Can</u> 175-193.	cer Therapeutics: Experimental and Cl	inical Agents, Teicher, ed.,			
C17	Bjorn et al., (1985), "Evaluation of Monoclor Immunotoxins," <u>Cancer Research</u> , 45:1214-1	-	Breast Cancer			
C18	Boehm et al., (1997), "Antiangiogenic therap resistance," Nature, 390:404-407.	y of experimental cancer does not indu	uce acquired drug			
C19	Boehm et al., (1998), "Zinc-Binding of Endo and Biophysical Research Communications,		ic Activity," Biochemical			
C20	Brooks et al., (1994), "Integrin α,β <sub>3</sub> Antagonists Promote Tumor Regression by Inducing Apoptosis of Angiogenic Blood Vessels," <u>Cell</u> , 79:1157-1164.					
C21	Buchli et al., (1993), "Structural and Biologic Analog," <u>Archives of Biochemistry and Biop</u>		-126 Interleukin-2			
C22	Burgess et al., (1990), "Possible Dissociation binding (Acidic Fibroblast) Growth Factor-1 Mutagenesis of a Single Lysine Residue," Jou	from Its Receptor-binding Activities b	=			
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C24	Cao et al., (1996), "Kringle Domains of Hum 271:46:29461-29467.	an Angiostatin," The Journal of Biolo	gical Chemistry,			
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SEP 2	9 2003	τ. 	SERIAL NO.: 09/621,268 CONF. NO.: 3473
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SASATRIAI	DEN H	FR DOCUMENTS: (Including Author, Ti	itle, Date, Relevant Pages, Place of Publication 1
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	C26	Capon et al., (1989), "Designing CD4 immu	unoadhesins for AIDS therapy," Nature, 337:525-531.
	C27		onal implications of a restricted antibody response to a defined lagglutinin," The EMBO Journal, 5:7:1577-1587.
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	C31	Chaudhary et al., (1988), "Selective killing exotoxin hybrid protein," Nature, 335:370-3	of HIV-infected cells by recombinant human CD4-Pseudomonas 372.
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	C33		Bladder Carcinoma by Intratumor Injection of a Bicistronic IL-12 Heterodimer and Its Inhibition by the IL-12 p40 Subunit :1:351-358.
	C34		s sites for related fibroblast growth factor ligands reside within nains," Proc. Natl. Acad. Sci. USA, 91: 989-993.
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	C36	Cohen, S. L. et al., (1996), "Human leptin c	haracterization," Nature, 382:589.
	C37	Cole et al., (1997), "Human IgG2 Variants of Immunology, 159:3613-3621.	of Chimeric Anti-CD3 Are Nonmitogenic to T Cells," <u>Journal of</u>
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	C39	Colombo et al., (1996), "Amount of Interlet Regression," <u>Cancer Research</u> , 56:2531-253	ukin 12 Available at the Tumor Site is Critical for Tumor 34.
	C40	D'Amato et al., (1994), "Thalidomide is an 4085.	inhibitor of angiogenesis," Proc. Natl. Acad. Sci. USA, 91:4082-
	C41	D'Andrea et al., (1992), "Production of Nat Blood Mononuclear Cells," J. Exp. Med., 1	tural Killer Cell Stimulatory Factor (Interleukin 12) by Peripheral 76:1387-1398.
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		Sheet 9 of 16
FORM PTO -	1449	ATTORNEY DOCKET NO.: LEX-007
SEP 2 9 20	DN DISCLOSURE STATEMENT	APPLICANT(S): Gillies et al.  SERIAL NO.: 09/621,268 CONP. NO.  FILING DATE: July 21, 2000 GROUP: 164269
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C44	1	ed the generation of lymphokine-activated killer-cell activity and diated by interleukin-2," Cancer Immunol. Immunotherap.
C45		d Characterization of Fusion Protein Consisting of a Chimeric Human IL-2," The J. of Immunology, 146:7:2446-2452.
C46	Fell et al., (1992), "Chimeric L6 antitumor a	ntibody," The J. of Biol. Chem., 267:15552-15558.
C47	Friedman, J. M. et al., (1998), "Leptin and the	he regulation of body weight in mammals," Nature, 395:763-770
C48	Gasson et al., (1984), "Purified Human Grar on Neutrophils," Science, 226:1339-1342.	nulocyte Macrophage Colony-Stimulating Factor: Direct Action
C49	Gately et al., (1998), "The Interleukin-12/Interleu	terleukin-12 Receptor system: Role in Normal and Pathologic 16:495-521.
C50	Gillessen et al., (1995), "Mouse Interleukin- Immunol., 25:200-206.	12 (IL-12) p40 Homodimer: A Potent IL-12 Antagonist," Eur. J.
C51	Gillies et al., (1989), "Expression of Human Cells," <u>Bio/Technology</u> , 7:799-804.	Anti-Tetanus Toxoid Antibody in Transfected Murine Myeloma
C52	Gillies et al., (1989), "High-Level Expression Cassettes," J. Immunol. Methods, 125:191-2	n of Chimeric Antibodies Using Adapted cDNA Variable Region 202.
C53	Gillies et al., (1990), "Antigen binding and bluman tumor specificities," Hum. Antibod.	piological activities of engineered mutant chimeric antibodies with <u>Hybridomas</u> , 1:1:47-54.
C54	Gillies et al., (1992), "Antibody-Targeted In Cells," Proc. Natl. Acad. Science, 89:1428-1	terleukin 2 Stimulates T-Cell Killing of Autologous Tumor 432.
C55	Gillies et al., (1993), "Biological Activity an Proteins," <u>Bioconjugate Chem.</u> , 4:230-235.	d In Vivo Clearance of Antitumor Antibody/Cytokine Fusion
C56	Gillies et al., (1998), "Antibody-IL-12 fusion colon carcinoma matastases," J. Immunolog	n proteins are effective in SCID mouse models of prostate and y, 160:2:6195-6203.
C57	Gillies et al., (1999), "Improving the Efficace Interaction with Fc Receptors," Cancer Rese	by of Antibody-Interleukin 2 Fusion Proteins by Reducing Their earch, 59:2159-2166.
C58	Gillis et al., (1978), "T Cell Growth Factor:	Parameters of Production And A Quantitative Microassay for

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